

12/12/00
JC975 U.S. PTO

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12-13-00

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Appln. Trans.
PATENT

**UTILITY PATENT
APPLICATION
TRANSMITTAL**
*(Only for new nonprovisional
applications under 37 CFR 1.53(b))*

Attorney Docket No. A33025-066680.0111
First Named Inventor Richard Barrington
Express Mail Label No. EK839855400US

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December 12, 2000

BY EXPRESS MAIL - Label No. EK839855400US

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

Sir:

Enclosed herewith for filing is a patent application of Richard Barrington, et al. entitled **PROCESS, SYSTEM AND FINANCIAL PLANNING ENGINE FOR DETERMINING AT LEAST ONE FINANCIAL INDICATOR FOR USE IN ACHIEVING A PARTICULAR FINANCIAL GOAL** which includes:

<input checked="" type="checkbox"/> Specification	<u>16</u> Total Pages
<input checked="" type="checkbox"/> Claims	<u>8</u> Total Pages
<input checked="" type="checkbox"/> Abstract	<u>1</u> Total Pages
<input checked="" type="checkbox"/> Drawing(s)	<u>7</u> Total Sheets
- formal	
<u>x</u> informal	

Combined Declaration and Power of Attorney 3 Total Pages
 Newly executed (original or copy)
 Copy from a prior application
(for continuation/divisional only - must be filed to avoid surcharge for late filing)

If a continuing application, check appropriate box:

Continuation Divisional Continuation-In-Part (CIP)
of prior application No.

Amend the specification by inserting, before the first line, the following sentence:

"This is a continuation divisional continuation-in-part
of copending application Serial No. filed ."

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Attorney Docket No. A33025-066680.0111

- An Assignment of the invention to MANNING & NAPIER ADVISORS, INC.
 is attached. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
 will follow.
 has been filed in the prior application
- Small Entity Statement(s) **ENCLOSED**.
 Small Entity Statement filed in prior application. Status still proper and desired.
- Information Disclosure Statement (IDS) PTO-1449
 Copies of IDS Citations.
- Preliminary Amendment
- Return Receipt Postcard
- Other
- Cancel in this application original claims _ of the prior application before calculating the filing fee.

The filing fee has been calculated as shown below:

<u>FOR</u>	<u>(Col. 1)</u> <u>No. Filed</u>		<u>(Col. 2)</u> <u>No. Extra</u>		Small Entity		Other Than A Small Entity	
					<u>Rate</u>	<u>Fee</u>	<u>Rate</u>	<u>Fee</u>
Basic Fee						\$355.00		\$710.00
Total Claims	35	-20	=	15	x 9 =	\$0.00	x 18 =	\$270.00
Ind. Claims	3	-3	=	0	x 40 =	\$0.00	x 80 =	\$0.00
Multiple Dependent Claim					+ 135 =		+ 270 =	
					Total	<u>\$0.00</u>		<u>\$980.00</u>

* If the difference in Col. 1 is less than zero, enter "0" in Col. 2.

Fee Payment Being Made:

Enclosed

- Basic filing fee \$980.00
- Recording Assignment \$40.00
[\$40.00; 37 CFR 1.21(h)]
- Total Fees Enclosed \$1,020.00

A check in the amount of \$1,020.00 to cover filing fee and assignment recordation fee is enclosed.

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PATENT

Attorney Docket No. A33025-066680.0111

Priority

- Priority of application Country ___, Appln. No. __ filed __ is claimed under 35 U.S.C. 119.
- Certified Copy of Priority Document(s) Country ___, Appln No. __, filed __.
- is/are attached will follow has been filed in the parent application S/N __.
- The Commissioner is hereby authorized to charge payment of any additional filing fees required under 37 CFR 1.16, 1.17, and 1.21(h) associated with this communication or credit any overpayment to Deposit Account No. 02-4377. Two copies of this sheet are enclosed.

BAKER BOTTS L.L.P.

By 

Gary Abelev

PTO Registration No. 40,479

Enclosures